



Office of Small Business Development Centers

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2014 Project Officer's On Site Review Training

What We'll Cover

- Why we Conduct Onsite Reviews
- Choosing Sites – How often to review, Selection Criteria, Onsite Review Schedule & When Due
- Pre-Onsite Review: Cooperative Agreement Docs & Reports, Requesting Counselor Summary Data Files, Selecting Counseling Files
- On-Site: Conducting the Review
- Post Onsite: Report Sequence Flow
- Timelines

Why the Project Officer?

- Code of Federal Regulations (13 CFR, Sec 130.800 and Section 130.810)
- SBA Cost Allocation Survey
- Project Officer Knowledge & Expertise “on the ground”

How often, how many?

- Lead Center – Reviewed once every fiscal year
- All service centers to be reviewed within a 3-year period. None to be reviewed more than once every 2 years. Additional criteria may influence site decisions.
- Service Centers – No more than 10 each year. If have large networks, work with your Program Manager to coordinate.
- Your schedule will entail a schedule of the previous year's completed fiscal year reviews.

Additional Selection Criteria for Service Centers

You will review the service center sites based on your comprehensive review schedule.

You may also use the following criteria:

- Changes in service center hosts
- New SBDC service center managers
- High turnover of staff
- Complaints received
- Extended period of time since the last review
- History of compliance findings
- Unresolved and/or repeat findings from previous reviews

Project Officer Review Schedule - Sample

2014 Project Officer SBDC Review Schedule.xlsx - Microsoft Excel																				
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	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	R	S	T
1	New York SBDC Project Officer Onsite Review Plan																			
2																				
3		Center	FY 12 Review	FY 13 Review		FY 14 Review		FY 15 Review												
4		Lead Center	12-May	4-May																
5	1	Canton	6-Apr																	
6	2	Plattsburgh	4-Jun																	
7	3	Binghamton	5-Jul																	
8	4	Staten Island	6-Jun																	
9	5	La Guardia	8-Jun																	
10	6	Rockland	23-May																	
11	7	Farmingdale	21-May																	
12	8	Columbia	8-Jul																	
13	9	Jamestown	10-Jul																	
14	0	Buffalo	8-May																	
15	11	Corning		6-Apr																
16	12	Mohawk Valley		7-Jun																
17	13	Albany		22-Jul																
18	14	Brooklyn		26-May																
19	15	Mid Hudson		9-Jun																
20	16	Stony Brook		12-Jul																
21	17	Baruch		10-Jun																
22	18	Manhattan-Pace		13-Jul																
23	19	Brockport	15-Jul																	
24	20	Niagara	30-May																	
25																				
26		Not Reviewed in FY13/14																		
27	21	Watertown																		
28	22	Onondaga																		
29	23	Bronx																		
30	24	Queens																		
31																				
32																				
33																				
34																				
35																				

Ready

Template Sample NY Sample NJ

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Preparing for the Onsite Review:

Gather these Cooperative Agreement documents, review them, and bring them with you:

- The current year's Program Announcement
- The SBDC's annual proposal for the current program year
- The SBDC's most recent Notice of Award (NOA) that includes the budget, performance goals, requirements and conditions.
- Also include the most recent performance report.

Preparing for the Onsite Review: Requesting Electronic Counselor Summary Files

- Request Electronic Counselor Summary Data Files from the lead center for each service center under review.
- All data should be pulled for the previous federal fiscal year (October 1, 2012 to September 30, 2013), regardless of the SBDC's performance period.
- Information should identify each counselor's: Clients, Number of Sessions, Contact Time, Prep Time, Total C&P Time, (and for Center IC): Travel Time and Travel Mileage.

Preparing for the Onsite Review: Reviewing Electronic Counseling Files

- Go through your counselor summaries and look for data that may strike you as anomalies or interesting. Circle those clients as files you will wish to review on site. You will need 10 counseling files for review. Note the reasons for choice. (Do NOT share the client files you wish to review with the SBDC before the review.)
- At the same time, choose up to 10 clients for client verification by telephone. (These may be the same as the client files you review.) You only need to interview three clients, but often need more as back-up.

Preparing for the Onsite Review: Identifying Clients for Verification Phone Calls:

- Work with the SBDC to identify and prepare the clients for your call.
- The SBDC service center will contact the clients via email, letter and/or phone to inform them that the SBA will be calling to verify they received counseling. (They should indicate it will take only a few minutes and will include simple questions)
- Once on site, you will use your review template script to conduct your calls to the identified clients.

Counselor Overview for individual centers

Customers/Sessions/Summary

Created Thursday,

Reportable Centers -- All Reportable Programs -- All

Grouped By -- Session User/Counselor. Customer,

Customers -- Center:

Customer Status: All,

Sessions -- Date: Between

17, Program: All, Session Type: Is (Initial and Follow-on),

Counselor A							
	Distinct Customers	Sessions	Contact	Prep	Total	Travel	Miles
Client 1	1	8	6.00	1.75	7.75	0.25	0.00
	Distinct Customers	Sessions	Contact	Prep	Total	Travel	Miles
Client 2	1	5	2.26	9.75	12.01	0.00	0.00
	Distinct Customers	Sessions	Contact	Prep	Total	Travel	Miles
Client 3	1	1	0.25	0.25	0.50	0.00	0.00
	Distinct Customers	Sessions	Contact	Prep	Total	Travel	Miles
Client 4	1	1	1.50	0.25	1.75	0.25	0.00
	Distinct Customers	Sessions	Contact	Prep	Total	Travel	Miles
Client 5	1	1	0.50	1.00	1.50	0.00	0.00
	Distinct Customers	Sessions	Contact	Prep	Total	Travel	Miles
Client 6	1	32	22.27	18.25	40.52	3.00	0.00
	Distinct Customers	Sessions	Contact	Prep	Total	Travel	Miles
Client 7	1	13	11.75	6.25	18.00	2.75	0.00
	Distinct Customers	Sessions	Contact	Prep	Total	Travel	Miles
Client 8	1	1	0.75	0.25	1.00	0.00	0.00
	Distinct Customers	Sessions	Contact	Prep	Total	Travel	Miles
Client 9	1	1	0.01	1.00	1.01	0.00	0.00
	Distinct Customers	Sessions	Contact	Prep	Total	Travel	Miles
Client 10	1	4	2.75	2.50	5.25	1.75	0.00
	Distinct Customers	Sessions	Contact	Prep	Total	Travel	Miles
Client 11	1	39	24.04	39.25	63.29	4.75	0.00
	Distinct Customers	Sessions	Contact	Prep	Total	Travel	Miles

Client 169	1	2	3.25	1.00	4.25	0.75
	Distinct Customers	Sessions	Contact	Prep	Total	Travel
Client 170	1	2	5.00	1.00	6.00	0.50
	Distinct Customers	Sessions	Contact	Prep	Total	Travel
Client 171	1	1	1.50	0.50	2.00	1.50
	Distinct Customers	Sessions	Contact	Prep	Total	Travel
Client 172	1	3	5.00	1.50	6.50	3.50
	Distinct Customers	Sessions	Contact	Prep	Total	Travel
Client 173	1	1	1.75	0.50	2.25	0.50
	Distinct Customers	Sessions	Contact	Prep	Total	Travel
Client 174	1	6	18.00	13.25	31.25	9.00
	Distinct Customers	Sessions	Contact	Prep	Total	Travel
Client 175	1	1	1.50	0.25	1.75	0.50
	Distinct Customers	Sessions	Contact	Prep	Total	Travel
Client 176	1	1	1.50	0.75	2.25	0.75
	Distinct Customers	Sessions	Contact	Prep	Total	Travel
Client 177	1	4	13.50	5.75	19.25	2.75
	Distinct Customers	Sessions	Contact	Prep	Total	Travel
Client 178	1	1	1.25	0.25	1.50	1.50
	Distinct Customers	Sessions	Contact	Prep	Total	Travel
Client 179	1	1	0.75	0.75	1.50	1.50
	Distinct Customers	Sessions	Contact	Prep	Total	Travel
Client 180	1	5	7.75	2.75	10.50	8.50
	Distinct Customers	Sessions	Contact	Prep	Total	Travel
Client 181	1	2	4.00	2.00	6.00	0.50
	Distinct Customers	Sessions	Contact	Prep	Total	Travel
Client 182	1	3	3.25	1.50	4.75	2.50
	Distinct Customers	Sessions	Contact	Prep	Total	Travel
Client 183	1	5	6.50	6.25	12.75	9.00
	Distinct Customers	Sessions	Contact	Prep	Total	Travel
Client 184	1	5	6.25	2.25	8.50	5.25
Counselor A	184	451	732.78	325.75	1,058.53	472.50

OVERVIEW: Compliance Reviews:

Preparing for the Review: Requesting Counseling File Printouts (Center IC Sample)

Counselor A							
Client 1	Distinct Customers	Sessions	Contact	Prep	Total	Travel	Miles
	1	8	1.50	16.50	18.00	0.00	0.00
Client 2	Distinct Customers	Sessions	Contact	Prep	Total	Travel	Miles
	1	11	1.75	14.50	16.25	0.00	0.00
Client 3	Distinct Customers	Sessions	Contact	Prep	Total	Travel	Miles
	1	10	2.75	14.25	17.00	0.00	0.00
Client 4	Distinct Customers	Sessions	Contact	Prep	Total	Travel	Miles
	1	20	4.00	36.00	40.00	0.00	0.00
Client 5	Distinct Customers	Sessions	Contact	Prep	Total	Travel	Miles
	1	1	2.00	0.00	2.00	0.00	0.00
Client 6	Distinct Customers	Sessions	Contact	Prep	Total	Travel	Miles
	1	6	10.50	0.00	10.50	0.25	0.00
Client 7	Distinct Customers	Sessions	Contact	Prep	Total	Travel	Miles
	1	1	1.00	0.00	1.00	0.00	0.00
Client 8	Distinct Customers	Sessions	Contact	Prep	Total	Travel	Miles
	1	8	2.00	17.00	19.00	0.00	0.00
	Distinct Customers	Sessions	Contact	Prep	Total	Travel	Miles

Client 89	Distinct Customers	Sessions	Contact	Prep	Total	Travel	Miles
	1	3	2.50	0.50	3.00	0.00	0.00
Client 90	Distinct Customers	Sessions	Contact	Prep	Total	Travel	Miles
	1	1	0.01	0.25	0.26	0.00	0.00
Client 91	Distinct Customers	Sessions	Contact	Prep	Total	Travel	Miles
	1	1	1.00	0.25	1.25	0.00	0.00
Client 92	Distinct Customers	Sessions	Contact	Prep	Total	Travel	Miles
	1	1	0.01	0.25	0.26	0.00	0.00
Client 93	Distinct Customers	Sessions	Contact	Prep	Total	Travel	Miles
	1	1	0.00	0.25	0.25	0.00	0.00
Client 94	Distinct Customers	Sessions	Contact	Prep	Total	Travel	Miles
	1	1	0.50	0.00	0.50	0.00	0.00
Client 95	Distinct Customers	Sessions	Contact	Prep	Total	Travel	Miles
	1	1	0.01	0.25	0.26	0.00	0.00
Client 96	Distinct Customers	Sessions	Contact	Prep	Total	Travel	Miles
	1	1	0.01	0.25	0.26	0.00	0.00
Client 97	Distinct Customers	Sessions	Contact	Prep	Total	Travel	Miles
	1	1	0.01	0.25	0.26	0.00	0.00
Client 98	Distinct Customers	Sessions	Contact	Prep	Total	Travel	Miles
	1	1	0.25	0.00	0.25	0.00	0.00
Client 99	Distinct Customers	Sessions	Contact	Prep	Total	Travel	Miles
	1	1	0.01	0.25	0.26	0.00	0.00
Client 100	Distinct Customers	Sessions	Contact	Prep	Total	Travel	Miles
	1	3	2.01	0.75	2.76	0.00	0.00
Client 101	Distinct Customers	Sessions	Contact	Prep	Total	Travel	Miles
	1	1	0.01	0.25	0.26	0.00	0.00
Client 102	Distinct Customers	Sessions	Contact	Prep	Total	Travel	Miles
	1	1	0.01	0.25	0.26	0.00	0.00
	Distinct Customers	Sessions	Contact	Prep	Total	Travel	Miles

Onsite: The Review:

Have with you:

- The Cooperative Agreement documents and most recent performance reports.
- Lead and/or Service Center review templates
- List of pre-chosen client counseling files to be reviewed
- List of counseling client phone numbers for telephone verification

Onsite: The Review

Conduct Your Review: **Follow your SBDC lead or service center review template!**

- Go through your template: take notes.
- (Service Center) Have your pre-chosen counseling files pulled, and request 10 training files to review.
- Mark your review template and/or verification spreadsheet with your notes.
- (Service Center) Conduct your telephone calls. Mark your review template or verification spreadsheet.
- At the end of your review, conduct an exit interview with the director.

Counseling Files: Is the Form 641 information complete? Could a new counselor pick up this file and continue serving the client adequately?

Date	Name	User	Type	Area	Pgrm	Contact	Prep	Total (C+P)	Travel	Miles
3/13/20			Follow On		SBDC	1.50	0.00	1.50	0.00	0.00
Client has existing small fitness center and is interested in expanding the operation. She started on a smaller scale than desired about a year ago and is basically breaking the business even at this point. Wants to discuss re-energizing the project as initially outlined. To do so advised her that we should revisit the business plan and more carefully outline the approach. Will review existing plan in depth and schedule client for another session when she has the project again more fully outlined.										
3/28/			Follow On		SBDC	2.00	2.00	4.00	0.00	0.00
Reviewed clients business plan from two years ago and discussed changes. Client wants to revisit a proposed fitness center that was not funded last time around. Has opened a smaller facility and currently has about 90 members; roughly equivalent to her startup goal in the prior plan. Discussed restructuring the document to more clearly emphasize the multiple income streams coming from the facility, which was not a point of emphasis in the original plan - this is a risk mitigation issue. In addition suggested she focus more intently on the various demographic user groups and go into more detail about how they are going to be accessed (in addition to traditional advertising) on a more pro-active basis. Client will revise and forward a rough draft for review. This may very well be a WMEP or 504B opportunity.										
5/21/			Follow On		SBDC	1.50	0.00	1.50	0.00	
Client came in to update on the progress she is making on the facility. Currently waiting for updated quotes for the facility. Has been working hard on the marketing side of the plan and is contacting numbers of potential community and commercial clients. Is getting letters of support and a few letters of commitment from larger customers of the facility. Also in contact with other businesses that will be renters of space such as salon owners, restaurant owners etc. This project was not funded a couple of years ago, but client now has an established business and appears to be doing a very credible job of solidifying future revenue streams. In addition to the local school districts, service organizations, governmental agencies, companies with wellness programs, senior groups and child care businesses, she is also actively pursuing the medical industry in general and physical therapists in specific. The pool facility will be a key to these relationships. When she is ready, we will involve them as for a potential 504B program. She is also pursuing a number of potential private investors. Possible angel investment groups will also need to be researched.										
6/27/			Follow On		SBDC	0.50	0.00	0.50	0.00	
Contacted client for update at her request. Projected facility costs are being developed and should be available in about two weeks, everything is pretty well on hold to that point. Did a preliminary investigation for client on a small angel investor that is interested in health related businesses. See file for specific contact information. Also discussed USANA, a line of health and wellness products Kim is interested in selling. This is a "network selling" distribution model so advised client to simply use caution. Having said that, the line does have synergies with Kim's vision for this project. Client will call when the building estimates are in.										
9/11/			Follow On		SBDC	2.00	1.00	3.00	0.00	
Client came in to discuss the stage of the revised plans for the fitness center. Project has grown beyond the scope of her plan and now includes an Olympic size pool and a full basketball court suitable for a high school team. Estimates need to be revised downward but project has grown from about \$1.5 million to as high as \$5 million. Plan is now to rent space to the local school district for use in competitive sports. Suggested the next step is to finalize price and confirm what revenue the school district will generate. I remain very skeptical client can cash flow this project and passed that on to client. Agreed the first step here is to finalize numbers in terms of facility cost and guaranteed revenues and revisit the financials. If that looks positive the plan needs to be rather dramatically revised. Discussed possible sources of funding, but that discussion is a bit premature unless we see if the project can cash flow.										
Also discussed a related network marketing venture client is involved in. This involves a company named [redacted], a health science company. There is not a great deal published on them, but what there is published has generally been positive. Thematically the products are consistent with her current and future facility. Did go through a conversation about network marketing with the client and cautioned to proceed with care.										
			Distinct Customers	Sessions	Contact	Prep	Total	Travel	Miles	
			1	5	7.50	3.00	10.50	0.00	0.00	

Onsite: Training Files

- Choose 10 training files: Does each file contain:
 - A completed SBA Form 888 for each attendee?
 - Marketing materials for the training having appropriate SBA logo & acknowledgment of SBDA's affiliation with SBA (See Program Announcement)
 - Attendee Lists
 - Program Income receipts
 - Client training evaluations?

Post Onsite-Review: Finalizing Reports

PO Sends On-Site Review to PM

Within 10 days after visit



PM Concurs with Report

Provides edits and/or remediation plan as needed to PO



PO Makes Edits (as needed) and Sends Final to Lead Center

Copy the PM on final to Lead Center



All Parties file final copy for Record

Lead Center should share results with Center Director



All On-Site Reviews Submitted by August 15th

Post - Onsite: Timelines

- By January 30, 2014: List of this year's centers and dates in your onsite review schedule to your Program Manager
- Within 10 days of site visit – reviews submitted to Program Managers
- All scheduled Service Center Compliance Reviews must be submitted to the Program Manager at OSBDC by **August 15th**.



Office of Small Business Development Centers

2014 Project Officer's On Site Compliance Review Training

The End